



National Institute of Justice

S o l i c i t a t i o n

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Solicitation for Research and Evaluation on Violence Against Women: Fiscal Year 1996

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This request for proposals announces a second year of evaluation and research on the Violence Against Women Act (VAWA) of the Violent Crime Control and Law Enforcement Act of 1994 and related violence against women issues. The request continues to be responsive to both congressional and public demand for accountability and the need to develop a knowledge base that examines policy and programmatic experience and continuously recommends improvements to them. This second year will support up to \$1.3 million in projects that will evaluate current VAWA programs and will provide for research and evaluation projects that contribute directly to helping States achieve the goals and objectives they have established under the Violence Against Women Act.

Introduction

Title IV of the Violent Crime Control and Law Enforcement Act of 1994 is the Violence Against Women Act. The Act responds to the needs of millions of women who are victims of violence each year. It also responds to the need for fundamental changes in addressing violence against women, and it responds to the special needs of women in minority and Native-American communities who are violently victimized.

VAWA addresses these needs through a variety of programs, including a grant program to strengthen law enforcement, prosecution, and victim services in cases involving violent crimes against women; education and prevention grants to reduce sexual assaults against women; a national domestic violence hotline that opened in February 1996; provisions for interstate enforcement of protection orders; penalties under Federal law for sex crimes; and a variety of other provisions and studies directed toward reducing violence against women and improving responses to women who are victims of violent crime.

FY 96 Law Enforcement and Prosecution Grants: STOP Grants

Chapter 2 under Subtitle A of VAWA provides support to the States and Indian tribal governments for enhanced

criminal justice responses and victim assistance efforts. The program is referred to as STOP: "Services, Training, Officers, Prosecutors." It provided \$26 million in Fiscal Year (FY) 95 and is providing \$130 million in FY 96 for law enforcement, prosecution, and victim services efforts aimed at reducing violence against women. The STOP formula grants are intended to lay the foundation for ongoing interventions that promote and increase an effective criminal justice system response to violence against women and that also increase the range of services for the victims of such violence.

Through the program each State is eligible to apply each year for a base amount. States submit an implementation plan and must allocate 25 percent of the funds to support law enforcement programs, 25 percent to prosecution programs, and 25 percent to victim services programs. The remaining 25 percent may be allocated at the State's discretion within the parameters of the Act. Seven major purpose areas are cited in the Act, and special emphasis is placed on underserved populations and Indian tribal governments. Guidelines for the program are available from the U.S. Department of Justice Response Center at 800-421-6770 or the Violence Against Women Grants Office at 202-307-6026.

In addition, new programmatic funding under the Violence Against Women Act for FY 96 includes a \$28 million discretionary program to encourage arrest policies in domestic violence cases, a \$7 million discretionary program addressing rural domestic violence and child abuse enforcement assistance, and a \$1 million training program for probation and parole officers.

The NIJ Research and Evaluation Program on Family Violence and Violence Against Women

For many years the National Institute of Justice (NIJ) has conducted research on spouse assault, other family violence, and sexual assault. More recently, family violence research and evaluation as it concerns the justice system has developed into a major program area at NIJ. In FY 95 VAWA significantly enhanced the research and evaluation program by prompting both evaluation efforts and

specific studies. In FY 96 NIJ will also announce support for evaluations of COPS domestic violence projects. In addition, NIJ joined in a multiagency request for applications, announced by the National Institutes of Health, for research on violence against women and violence within the family. These research and evaluation efforts are directed toward both increasing our understanding of family violence and violence against women and providing useful evaluative findings on interventions to improve policy and programs.

The 1995 VAW Research and Evaluation Program

The FY 95 Violence Against Women Research and Evaluation Program was the result of a collaborative effort between NIJ and the Violence Against Women Grants Office. Under this program a variety of projects were supported by funds made available through the Violent Crime Control and Law Enforcement Act of 1994. These projects include a national evaluation, local-level evaluative studies, and other projects directed toward reducing violence against women and improving the criminal justice response to these crimes. The FY 95 VAWA evaluation and research projects that are now under way include:

National Evaluation of the STOP VAW Formula Grant Program. The purpose of the national evaluation is to provide timely feedback by: 1) documenting the range of activities and programs supported by the grants;

NIJ is trying to streamline its process to accommodate the volume of proposals anticipated under this and other Crime Act solicitations. **Researchers can help in a significant way by sending NIJ a nonbinding letter of intent by June 28.** The Institute will use these letters to forecast the numbers of peer panels it needs and to identify conflicts of interest among potential reviewers. There are three ways to send these letters. You can fill out the mailer on the last page of this solicitation. You can reach NIJ by Internet by sending e-mail to tellnij@ncjrs.org and identifying the solicitation and section(s) you expect to apply for. You can write a letter with the same information to Solicitation for Research and Evaluation on Violence Against Women: Fiscal Year 1996, 633 Indiana Avenue N.W., Washington, DC 20531. Help us help you.

2) assessing the outcomes and accomplishments of grantees; 3) examining grantee planning and implementation efforts; and 4) developing a strategy for documenting long-term effects.

The project is structured around five tasks: 1) analyzing grantee plans, reports, and other case documents; 2) conducting case studies to understand the dynamics of planning, implementation, and performance; 3) conducting telephone interviews with all grantees after their first year of funding to assess progress and implementation and performance issues as seen from the field; 4) writing annual reports as the basis for reports to Congress; and 5) developing plans for future evaluations of the ultimate impact and effectiveness of the formula grant program.

Models of Community Coordination in Response to Partner Violence. Building on data collected from statewide surveys of local criminal justice practitioners and domestic violence organizations and from site visits to five criminal justice agencies in the State of New York, this study will: 1) develop a typology of community coordination models; 2) assess the role of leadership, conflict, and resources in the growth of different types of coordination models; and 3) assess the impact of alternative coordination approaches on victims' safety, perceptions of system effectiveness, revictimization, and satisfaction with responses. The research will include intensive interviews with community leaders and samples of victims (approximately 30), observation, focus groups, and information gathering on case processing through coordination networks.

An Exploration of the Experiences and Needs of Former Intimate Stalking Victims. This project will explore the experiences of 200 "ordinary" (noncelebrity) former intimate stalking victims. Specifically, the research will identify 1) the evolution and patterns of stalking behavior; 2) the psychological, financial, physical, and behavioral effects of stalking on its victims; 3) the effectiveness (or ineffectiveness) of legal mechanisms for protecting victims; 4) the various needs of stalking victims; 5) the factors related to subsequent violence in stalking cases; and 6) other issues related to stalking and its victims.

Evaluation of a Coordinated Response to Domestic Violence. The purpose of this evaluation is to assess the effectiveness of the Alexandria, Virginia, Domestic Violence Intervention Project (DVIP), a comprehensive

approach to domestic violence. The study will seek to determine the short- and long-term outcomes for a sample of 350 women who used the project's services. Interviews with 100 women who received services will be conducted at 1 and 6 months after the initial abuse incident. Long-term outcomes will be assessed via interviews with a sample of 75 women who received services from DVIP between 1993 and 1995. Additional methods of assessing program effectiveness include a comparison of victims who received services from the Alexandria DVIP with domestic violence victims who received services from the Arlington County Victim-Witness Assistance Program (100 for the short-term interviews, 75 for the long-term interviews); rearrest rates of abusers from the DVIP data base; interviews with program staff, judges, prosecutors, and magistrates; and surveys of police officers. Relationships between outcomes and a variety of factors such as race, disposition of court case, and compliance with treatment will also be explored.

Prosecution Strategies in Domestic Violence. The purpose of this study with Iowa prosecutors is to examine the prosecution strategies of domestic violence-related cases and to identify strategies associated with a successful outcome of conviction on the original charge. These strategies will be identified by examining the trial transcripts of a sample of domestic violence-related felonious assaults, homicides, and attempted homicides in Iowa. To assess the success of strategies, cases where convictions were won on the original charge will be compared with cases of convictions on lesser charges to see if there are differences in the prosecution strategies employed. In particular, cases will be examined to determine the extent to which prosecutors were able to present evidence of the context of the abusive relationship and history of prior violence in helping the fact finders understand the current charge.

The Extent and Nature of Sexual Victimization of College Women. This project will collect data from a national sample of women enrolled at postsecondary institutions in the United States. Data collection will involve the use of structured telephone interviews to obtain individual, incident, and victimization data. Specific objectives of the study include: 1) determining the extent and nature of various forms of sexual victimization of college women; 2) helping postsecondary institutions identify and assess the problem of sexual victimization; 3) developing a more adequate understanding of the dynamics associated

with several forms of sexual victimization (ranging from sexual harassment to rape); 4) contributing to the theoretical study of sexual victimization; and 5) examining the efficacy of institutional and legal policies and programs implemented to address sexual victimization by examining the links between college women's participation in these programs and their victimization experiences.

NIJ Studies Directed By the Violence Against Women Act

The current NIJ research program also supports several studies that were required under VAWA. They include the development of a research agenda to increase understanding and control of violence against women, including domestic violence; a study of centralized State data bases on the incidence of domestic violence and sexual assault offenses; the development of a report on the medical and psychological basis of "battered women's syndrome" and the extent to which evidence of the syndrome has been considered in criminal trials; and a study of the means by which abusive spouses may obtain information on the addresses or locations of estranged or former spouses. These studies are concluding; results will be available soon. The project that developed a research agenda has been published as *Understanding Violence Against Women* and can be purchased from the National Academy Press, 2101 Constitution Avenue N.W., Washington, DC 20055 (phone 800-624-6242, or order via Internet at <http://www.nap.edu/nap/bookstore>).

NIJ's Ongoing Family Violence Research and Evaluation Program

The above Violence Against Women research and evaluation projects enhance the overall NIJ program and build upon NIJ's completed and ongoing violence against women projects.

Earlier experimental research on spouse assault primarily addressed the police response to the problem. An initial experiment in Minneapolis found positive effects of arrest in decreasing repeat offenses, but several replications in other cities obtained mixed results, suggesting caution in generalizing the results.

The current family violence research program includes research and evaluation projects addressing partner abuse, other violence against women, and child abuse. Projects

have focused on operations of law enforcement, prosecution, victim services, the courts, probation, and parole. Others have included the corporate response to domestic violence, a national victimization survey of adolescents, a national survey on violence and threats against women, research on the developmental antecedents of partner violence, and a continuing examination of the links between childhood victimization and later consequences, including adult violence. A copy of program project abstracts can be obtained by calling the National Criminal Justice Reference Service at 800-851-3420 or 301-251-5500.

Among recent NIJ publications on violence against women issues are: *The Criminal Justice and Community Response to Rape*, which discusses support for improvements in rape prosecution and victim services; *The Criminalization of Domestic Violence: Promises and Limits*, which is based on a presentation by Jeffrey Fagan at the 1995 Annual Conference on Criminal Justice Research and Evaluation; and *A Coordinated Approach to Reducing Family Violence: Conference Highlights*, a report on the American Medical Association national conference held in March 1994.

Solicitation of Proposals

This section announces the request for evaluation and research proposals in two areas:

I. Impact Evaluations on the Purpose Areas of the STOP Grants.

II. Other Research and Evaluation on Violence Against Women.

This request is related to VAWA and directed toward informing future programmatic innovations, such as inter- and intrastate enforcement of protection orders, and research that addresses significant policies and issues for improving responses to violence against women.

This solicitation is directed specifically toward the need to understand and assess the impact of justice programs authorized through VAWA. Included are both domestic violence and sexual assault issues and programs. Throughout the years of this research and evaluation effort, collaborative relationships at all levels among policymakers, program administrators, and researchers will be formed; and results will inform and advance policy, programs, and understanding of violence against women. All applicants should describe how their projects would contribute to

assisting States to achieve their goals to combat violence against women.

Methodological considerations. The need for innovation, particularly on qualitative measures, culturally sensitive measures, and the need for different levels of data, is acknowledged. Outcome measures that go beyond reoffending need to be considered and used. New outcome measures could address stress, economic independence, quality of life, and offending with a new partner. The use of data from a variety of systems (e.g., criminal justice, social services, public health) is encouraged. Projects may involve case studies, ethnography, victim and practitioner focus groups and surveys, data on secondary consequences, experimental designs, and other relevant approaches.

Dissemination. NIJ is also interested in expeditious and innovative methods to disseminate the results of policy studies, evaluations, and research that would supplement the more traditional dissemination approaches. Project results are expected to be reported to NIJ and the VAW Grants Office as they become available. This will facilitate the dissemination of findings and innovations. Applications should present a discussion of the types of results or products that would become available over the course of the project.

Applicants should be familiar with VAWA, the current NIJ program on Violence Against Women, and related research and evaluation. Through this solicitation projects can be jointly supported by NIJ and other interested agencies if applicants have obtained or applied to other interested governmental or nongovernmental funders.

The following sections detail the request for research proposals within the two general solicitation areas. Applicants should specify the area under which they are applying.

I. Impact Evaluation on the Purpose Areas of the STOP Grants

The national evaluation cited above is assessing implementation of VAWA in the initial years of the program and will be the central point in coordinating various evaluation efforts that are conducted during the next several years, including the anticipated projects supported under this section. With the national evaluation and related research and evaluation projects under way, it is the intent of this section to encourage proposals for impact

evaluations on the first 2 years of the purpose areas authorized for STOP grants. It is envisioned that these new projects would provide indepth evaluation on the impact of STOP VAW projects in four areas. These four areas address the seven purpose areas of the Act. Results would produce separate reports on the impact of STOP funds in the particular purpose area(s) and would also be subsumed within the overall national evaluation and the annual reports produced through that effort. Grantees will provide indepth reports that will be incorporated into the March annual report. They also should include funds in each year's budget to send the Principal Investigator(s) to Washington, D.C., to attend three coordination meetings with the national evaluator.

The intent of this solicitation is to select four applicants to evaluate projects in each of the four areas below. Because the relevant expertise of the applicant will be a criterion for assessing proposals, applicants may want to consider joining with other organizations with knowledge about the purpose area. Applicants are reminded that the purpose areas address both crimes of sexual assault and domestic violence.

Multisite proposals are sought for the four areas. Applicants should provide a detailed description of the methods that will be used to assess impact. These 2-year impact evaluation grants are anticipated to have a funding range as specified below. A decision on project continuations beyond the 2-year period will be made prior to the end of the 2-year project.

1. Law Enforcement and Prosecution

The purpose areas to be addressed by this impact evaluation are:

- Training law enforcement officers and prosecutors to identify and respond more effectively to violent crimes against women.
- Developing, training, or expanding units of law enforcement officers and prosecutors that specifically target violent crimes against women.
- Developing and implementing more effective police and prosecution policies, protocols, orders, and services specifically devoted to preventing, identifying, and responding to violent crimes against women.

- Developing, enlarging, or strengthening programs that address stalking.

Fifty-two States and Territories indicated plans to support training programs in this training area. Some of the training activities specified include expanding training requirements to be effective statewide; developing and updating training curriculums; creating special seminars, in-service courses, and "roll-call" training packages; developing multidisciplinary training for law enforcement officers, prosecutors, judges, and victim services providers; developing training for prosecutors for date rape cases; and training process-servers on issues related to domestic violence cases.

Evaluation applicants should consider conducting a State-by-State review of police and prosecutor training curriculums on domestic violence and sexual assault within their overall proposal. Most of the 33 States that made commitments in the purpose area addressing special units simply stated their intent to establish or expand one or more special units for domestic violence and/or sexual assault within law enforcement, prosecution, or both.

Forty-three States or Territories included a focus on police and prosecution policies and protocols in their plans. Some of the specific activities described were developing model law enforcement protocols; developing a domestic violence manual for police or prosecutors; establishing an oversight committee to identify criminal justice system problems and supervise efforts to alleviate them; expanding the availability of free legal services for the preparation of protection orders; creating procedures to honor the protection orders issued by other jurisdictions; developing protocols for interjurisdictional issues among city, county, State, tribal, and Federal jurisdictions; and promoting collaboration among criminal, civil, and juvenile courts.

Eight State plans addressed stalking; some of the efforts in the other purpose areas also may strengthen stalking programs. Proposed activities include holding a statewide conference to develop strategies to address stalking; establishing an association of domestic violence investigators with a particular expertise in stalking; developing training curriculums on appropriate criminal justice responses; and developing a prosecution protocol.

Because these four purposes generally concern law enforcement and prosecution, they have been joined into a single project. This will allow for efficient use of funds for

field visits and will minimize overlap in field work. Applicants, however, should make clear distinctions between police and prosecution programs and should consider the different practitioner audiences in their report writing and dissemination plans. Funding for one project will be up to \$325,000.

2. Victim Services Programs

The purpose area to be addressed by this impact evaluation refers to:

- Developing, enlarging, or strengthening victim services programs, including sexual assault and domestic violence programs.
- Developing or improving delivery of victim services to racial, cultural, ethnic, and language minorities.
- Providing specialized domestic violence court advocates in courts where a significant number of protection orders are granted.
- Increasing reporting and reducing attrition rates for cases involving violent crimes against women.

Fifty-five States and Territories addressed this purpose area in their plans. State plans anticipate hiring new staff and recruiting and training more volunteers. Some of the activities included in the plans were developing a network of translators for various languages; exploring the feasibility of developing safe homes in counties without shelters; expanding sexual assault services in rural areas; creating multidisciplinary teams to respond to domestic violence and sexual assault; exploring the feasibility of mobile teams to serve remote areas of the State; developing questionnaires to collect service evaluation data from domestic violence and sexual assault service users; creating a statewide emergency response 800 telephone number; and training medical personnel and victim service professionals. Funding for one project will be up to \$200,000.

3. Data Collection and Communication Systems

Currently, 35 States collect annual data on domestic violence incidents, and 30 States collect sexual assault data. There is, however, a wide variation across States in how these offenses are defined, how States determine what is counted, and how States measure or report incidents. Forty States have indicated that they intend to use their STOP funds, which can be used at the State or local level, to address this purpose area.

The purpose area to be addressed by this impact evaluation refers to:

- Developing, installing, or expanding data collection and communication systems, including computerized systems.
- Linking police, prosecutors, and courts.
- Identifying and tracking arrests, protection orders, violations of protection orders, prosecutions, and convictions for violent crimes against women.

Activities that were mentioned in State implementation plans for this purpose area include developing a jail release notification system; conducting a statewide victimization survey; providing investigative and communications equipment for domestic violence and sexual assault units; developing a computerized system that links law enforcement, prosecution, and courts to track domestic violence arrests, protection orders, violations, and convictions; developing standardized data collection instruments for both sexual assault and domestic violence services; developing a computer-indexed repository for statewide domestic violence and sexual assault data, statistics, and reports; and collecting data and evaluating activities, such as statewide needs assessments or victim impact surveys. Funding for one project will be up to \$145,000.

4. Programs Among Indian Tribes

The purpose area to be addressed by this impact evaluation refers to:

- Developing, enlarging, or strengthening programs that address the needs and circumstances of Indian tribes in dealing with violent crimes against women.

Twelve States indicated in their plans that they would support programs that address the needs of Indian tribes. Activities proposed by these States include establishing a special unit on one reservation; establishing shelters and rape crisis services on reservations within the State; and assisting tribal governments in police training, working with coordinating councils, and promoting community policing. In addition, an Office of Justice Programs discretionary program through which 14 applicants have received support for their tribal projects is currently under way. Both the discretionary projects and the State-supported formula projects should be considered by an applicant in designing an evaluation in this purpose area. Funding for one project will be up to \$145,000.

II. Other Research and Evaluation on Violence Against Women

Part II of this solicitation acknowledges the many programs, policies, and practices related to violence against women, including spousal violence and sexual assault, that are not necessarily supported by VAWA funds but that, through a quality evaluation, would offer useful results that would inform and enhance State or local jurisdictions' overall efforts to combat violence against women.

One area of emphasis concerns the important issues under intra- and interstate enforcement (chapter 2 of subtitle B), particularly the provision on full faith and credit given to protection orders. A goal within this evaluation area is to provide results that would be useful in assessing progress and identifying significant roadblocks in intra- and interstate enforcement of protection orders.

Applicants are further encouraged to propose evaluations of programs and policies or address research questions that are directed toward improving the justice, social service, and public health responses to spouse assault and violence against women. Proposals addressing other critical policies and programs related directly to VAWA, such as a focus on violence against women in underserved populations or community coordination and collaboration in addressing VAWA, are also encouraged under this part.

In March 1995 a planning workshop was convened by NIJ, in cooperation with the U.S. Department of Health and Human Services, to bring together researchers, practitioners, and policymakers from a variety of disciplines involved in addressing violence against women. A broad range of research topics and potential methodologies emerged from the discussions. Topics highlighted in the workshop included a need to understand or assess the process of community coordination and collaboration; the individual safety planning processes that women employ; the role of a State or community fatality review process in determining cause of death and improving efforts to prevent violence against women; the role of advocacy in addressing these crimes (including the effectiveness of advocacy); the roots of domestic violence; the components of a safe community for women; how communities can be effectively mobilized to address violence against women; what interventions are most effective for the victim and the offender; the unique needs of particular populations

(including minorities, Native Americans, military, and small and rural communities); and the links between partner abuse and child abuse. These issues continue to be of importance, and proposals addressing or incorporating these issues are encouraged.

The above list is not exhaustive or intended to limit an applicant. Any policy study, program evaluation, or research inquiry that has the potential to reduce the level of violence against women, increase the safety of women, and provide useful findings for improving programs will be considered. Up to \$485,000 will be available to support several projects under this part.

Application Requirements

This section presents general application information, recommendations to proposal writers, and requirements for grant recipients. The application form, Standard Form (SF) 424, is included at the end of this document. Proposals not conforming to these application procedures will not be considered.

Award period. In general, NIJ limits its grants and cooperative agreements to a maximum period of 24 months. However, longer budget periods may be considered.

Award amount. Awards totaling \$1.3 million will be made available for this NIJ solicitation.

Due date. Ten (10) copies of **fully executed proposals** should be sent to:

Solicitation for Research and Evaluation on Violence
Against Women: Fiscal Year 1996
National Institute of Justice
633 Indiana Avenue N.W., Room 867
Washington, DC 20531

Completed proposals **must be received** at the National Institute of Justice by the close of business on **July 26, 1996**. Extensions of this deadline will not be permitted.

Contact. Applicants are encouraged to contact Tawana Waugh, U.S. Department of Justice Response Center, 202-307-1310, to obtain information about topic viability, data availability, or proposal content before submitting proposals. The Response Center can also be reached at 800-421-6770, locally at 202-307-1480, and by fax at 202-616-9249.

Certifications. Applicants should read and sign the certification form regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements included in this solicitation. Signing this form commits the applicant to compliance with the certification requirements under 28 Code of Federal Regulations (CFR) Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants).” The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

Recommendations to Proposal Writers

Over the past 4 years, Institute staff have reviewed approximately 1,500 grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. Others reflect standard NIJ requirements.

The author(s) of the proposal should be clearly identified.

Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ’s discretion, will be returned without a deadline extension. No additions to the original submission are allowed. The Institute suggests that applicants make certain they address the questions, issues, and requirements set forth below when preparing an application.

1. What is the subject or problem you wish to address?

Describe the subject or problem and how it affects the criminal justice system and the public. Discuss how your approach will improve the situation or advance the state of the art of knowledge or state of the science and explain why it is the most appropriate approach to take. Give appropriate citations to the research literature. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

2. What do you want to do? Explain the goal(s) of the project in simple, straightforward terms. The goal(s) should describe the intended consequences or expected overall effect of the proposed project rather than the tasks or activities to be conducted. To the greatest extent pos-

sible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

3. How will you do it? Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical progression of tasks and relate those tasks directly to the accomplishment of the project’s goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks also will help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

4. What should you include in a grant application for a program evaluation? If a grant application is for a program evaluation, describe how the evaluation will determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project’s effectiveness and identify program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique, or the administration of the project.

5. How will others learn about your findings? Include a plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project, such as publication of journal articles or distribution of key materials. Expectations regarding products are discussed more fully in the following section, “Requirements for Award Recipients.” A statement that a report or research findings “will be made available to” the field is not sufficient. The specific means of distribution or dissemination as well as the types

of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and should describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

6. What are the specific costs involved? The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of "other" or "miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies.

7. How much detail should be included in the budget narrative? The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on SF 424 and in TOTAL PROJECT COSTS in the Budget Detail Worksheet (OJP Form 7150/1). When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for designated personnel (e.g., project director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.
- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature

and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375). Supply and expense estimates offered simply as "based on experience" are not sufficient.

8. What travel regulations apply to the budget estimates? Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, number of persons traveling, number of trips to be taken, and length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, subtotals for these categories should equal the estimate listed on the budget form.

9. Which forms should be used? A copy of SF 424, Application for Federal Assistance, plus instructions, appears at the back of this document. Please follow the instructions carefully. In addition, complete the Budget Detail Worksheet (OJP Form 7150/1), OJP Form 4000/3 (Assurances), and OJP Form 4061/6 (certifications regarding lobbying; debarment, suspension, and other responsibility matters; and drug-free workplace requirements).

10. What technical materials are required to be included in the application?

- A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities, and, when known, the location(s) of field research.
- A program narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goal(s), and objectives of the project and related questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own

investigation would contribute to current knowledge.

- A detailed statement of the proposed research or study design and analytical methodologies. Proposed data sources, data collection strategies, variables and issues to be examined, and procedures of analysis to be employed should be delineated carefully and completely. When appropriate, experimental designs are encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.
- The applicant's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.

11. How may grant funds be used? Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

12. To what extent may indirect costs be included in the budget estimates? It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should contact the Office of the Comptroller, Office of Justice Programs, at 202-307-0623, to obtain information about preparing an indirect cost rate proposal.

13. What, if any, matching funds are required? Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

14. Should other funding sources be listed? Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

15. What is the deadline? Completed applications must be received at NIJ by close of business on **July 26, 1996**.

16. Is there a page limit? The Institute has established a limit of 30 double-spaced pages (with font size not smaller than 12 point) for all normal grant applications. This page limit does not include references, budget narrative, curriculum vitae, forms noted in item 9 above, or necessary appendixes. Applications for small grants (\$1,000–\$50,000) are limited to 15 double-spaced pages. Proposals failing to conform to these page and font limitations will not be accepted.

17. What elements constitute the proposal? The following components, presented in the following order, is mandatory. Omission can result in rejection of the application.

1. SF 424 (with Assurances attached), followed by OJP Form 7150/1 (Budget Detail Worksheet), budget narrative, negotiated rate agreement, and certifications.
2. Names and affiliations of all key persons from applicant and subcontractor(s), advisers, consultants, and Advisory Board members. Include the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.
3. Abstract.
4. Table of contents.
5. Project narrative.
6. References.
7. Résumés of key personnel.

18. What does the review process entail? After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer

panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

19. What are the criteria for an award? The essential question asked of each applicant is, “If this study were successful, how would criminal justice policies or operations be improved?” Four criteria are applied in the evaluation process:

- Impact of the proposed project.
- Feasibility of the approach to the issue, including technical merit and practical considerations.
- Originality of the approach, including creativity of the proposal and capability of the research staff.
- Economy of the approach. Applicants bear the responsibility of demonstrating to the panel that the proposed study addresses the critical issues of the topic area and that the study findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess applicants’ awareness of related research or studies and their ability to direct the research or study toward answering questions of policy or improving the state of criminal justice operations.

Technical merit is judged by the likelihood that the study design will produce convincing findings. Reviewers take into account the logic and timing of the research or study plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and each applicant’s awareness of factors that might dilute the credibility of the findings. Impact is judged by the scope of the proposed approach and by the utility of the proposed products. Reviewers consider each applicant’s understanding of the process of innovation in the targeted criminal justice agency or setting and knowledge of prior uses of criminal justice research by the proposed criminal

justice constituency. Appropriateness of products in terms of proposed content and format is also considered.

Applicants’ qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the proposed research or study. Costs are evaluated in terms of the reasonableness of each item and the utility of the project to the Institute’s program.

20. Are there any other considerations in selecting applications for an award? Projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

The applicant’s performance on previous or current NIJ grants will also be taken into consideration in making funding decisions.

21. Who is eligible to apply? NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. Where appropriate, special eligibility criteria are indicated in the solicitation.

22. Does NIJ accept resubmission of proposals? The Institute will accept resubmission of a previously submitted proposal. The applicant should indicate on Question 8, SF 424, that the application is a **revision**. The applicant should include this information in the abstract. Finally, the applicant should prepare a one-page response to the earlier panel review (to follow the abstract) and include 1) the title, submission date, and NIJ-assigned application number of the previous proposal, and 2) a brief summary of responses to the review and/or revisions to the proposal.

Requirements for Award Recipients

Required products. Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials; prosecutors; judges; corrections officers; victim services providers; and Federal, State, county, and local elected officials.

Products should include:

- A summary of approximately 2,500 words highlighting the findings of the research and the policy issues those findings will inform. Material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- A full technical report, including a discussion of the research question, review of the literature, description of project methodology, detailed review of project findings, and conclusions and policy recommendations.
- Clean copies of all automated data sets developed during the research and full documentation prepared in accordance with the instructions in the NIJ publication *Depositing Data with the Data Resources Program of the National Institute of Justice: A Handbook*.
- Brief project summaries for NIJ use in preparing annual reports to the President and Congress.

As appropriate, additional products such as case studies and interim and final reports (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

Prohibition on supplanting funds. Federal funds must be used to supplement existing funds and not replace those funds which have been appropriated for the same purpose. Potential supplanting will be the subject of application review, as well as pre-award review, post-award monitoring, and audit. If there is a potential presence of supplanting, the applicant or grantee will be required to supply documentation demonstrating that the reduction in non-Federal resources occurred for reasons other than the receipt or expected receipt of Federal funds.

Public Release of Automated Data Sets

NIJ is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare user guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau at 202-307-1355.

Standards of Performance by Recipients

NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in *Financial Guide*, published in April 1996 by the Office of Justice Programs. This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

Audit requirement. State and local governments are governed by the Single Audit Act of 1984 and Office of Management and Budget (OMB) Circular A-128, "Audits of State and Local Governments." Nonprofit organizations and institutions of higher education are governed by OMB Circular A-133, "Audits of Institutions of Higher Education and Other Nonprofit Institutions." The type of audit required under these circulars is dependent upon the amount of Federal funds that can be audited during the recipient's fiscal year.

For example:

- If the organization receives \$100,000 or more per year in Federal funds, the organization shall have an organizationwide financial and compliance audit.

- If the organization receives between \$25,000 and \$100,000 a year in Federal funds, the organization may elect to have an organizationwide audit or program audit.
- If the organization receives less than \$25,000 a year in Federal funds, the organization shall be exempt from the audit requirement.

Commercial (for-profit) organizations shall have financial and compliance audits performed by qualified individuals who are independent from those who authorize the expenditure of Federal funds. This audit must be performed in accordance with Government Auditing Standards. The audit thresholds contained in OMB Circulars A-128 and A-133 apply.

Financial status reports. Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active. The final report is due 120 days after the end date of the award. The Office of the Comptroller, Office of Justice Programs, will provide a copy of this form in the initial award package.

Conditions for suspension or termination of funding. The National Institute of Justice may suspend (in whole or in part), terminate funding for, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of the Omnibus Crime Control and Safe Streets Act of 1968, as amended; the Anti-Drug Abuse Act of 1988; program guidelines issued thereunder; or other provisions of Federal law.
- Failure to make satisfactory progress toward the goals or strategies set forth in this application.
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failure to submit reports.
- Filing a false certification in this application or other report or document.

Before imposing sanctions, the National Institute of Justice will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to

resolve the problem. Hearing and appeal procedures will follow those in U.S. Department of Justice regulations in 28 CFR Part 18.

Program Monitoring

Award recipients and Principal Investigators assume certain responsibilities as part of their participation in Government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialog, with collegiality and mutual respect. Some of the elements of this dialog are:

- Communication with NIJ in the early stages of the grant, as the elements of the proposal's design and methodology are developed and put into operation.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with schedules, milestones, and products set forth in the proposal. (See statement on "Timeliness" below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to Congress. NIJ will give as much advance notification of these requests as possible but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- Providing NIJ with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.
- Other reporting requirements (progress reports, final reports, and other grant products) are spelled out elsewhere in this section. Financial reporting requirements will be described in the grant award documents received by successful applicants.

Progress Reports

NIJ Program Managers should be kept informed of research progress. Written progress reports are required on a semiannual basis and should inform the Program Manager of which tasks have been completed and whether significant delays or departures from the original workplan are expected. The first progress report should cover the period from the beginning date of the project through the end of the first **complete** quarter (quarters are January 1–March 31, April 1–June 30, July 1–September 30, and October 1–December 31). Subsequent progress reports should cover the next two quarters.

All progress reports are due 30 days following the end of the reporting period. For example, if a grant is awarded in May, the first progress report would cover the rest of the current quarter (through June 30) and the first complete quarter (July 1–September 30) and would be due October 31; the second progress report would cover the next two quarters (October 1–December 31 and January 1–March 31) and would be due April 30.

Timeliness. Grantees are expected to complete award products within the time frames that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

Publications. The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than inclusion of the following acknowledgment and disclaimer:

This research was supported by grant number _____ from the National Institute of Justice. Points of view are those of the author(s)

and do not necessarily represent the position of the U.S. Department of Justice.

Data confidentiality and human subjects protection.

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings:

[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings (42 United States Code 3789g).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 CFR, ¶22. A short “how-to” guideline for developing a privacy and confidentiality plan can be obtained from NIJ Program Managers.

In addition, the U.S. Department of Justice has adopted human subjects policies similar to those established by the U.S. Department of Health and Human Services. If an institutional review board is necessary for this project, a copy of the board's approval must be submitted to the National Institute of Justice prior to the initiation of data collection. Researchers are encouraged to review 28 CFR 46, ¶46.101, to determine their individual project requirements.

Notice: If you are planning to respond to this solicitation, please complete and mail the notice of intent form on the last page.

Application Forms

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: | Item: | Entry: |
|-------|---|-------|--|
| 1. | Self-explanatory. | 12. | List only the largest political entities affected (e.g., State, counties, cities). |
| 2. | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | 13. | Self-explanatory. |
| 3. | State use only (if applicable). | 14. | List the applicant's Congressional District and any District(s) affected by the program or project. |
| 4. | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 15. | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | 16. | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. |
| 6. | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 17. | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. |
| 7. | Enter the appropriate letter in the space provided. | 18. | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) |
| 8. | Check appropriate box and enter appropriate letter(s) in the space(s) provided:
—“New” means a new assistance award.
—“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
—“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | |
| 9. | Name of Federal agency from which assistance is being requested with this application. | | |
| 10. | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. | | |
| 11. | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | |

Budget Detail Worksheet

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project.

Name/Position	Computation	Cost
		TOTAL _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known.

Purpose of Travel	Location	Item	Computation	Cost
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TOTAL_____

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the “supplies” category or in the “Other” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the “Contractual” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
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TOTAL_____

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		TOTAL _____

G. Consultants/Contracts

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$150 per day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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*Subtotal*_____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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*Subtotal*_____

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
-------------	-------------

*Subtotal*_____

TOTAL_____

(H) Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		TOTAL _____

(I) Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct cost categories.

Description	Computation	Cost
		TOTAL _____

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	
TOTAL PROJECT COSTS	_____
Federal Request	_____
Non-Federal Amount	_____

INSTRUCTIONS

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

Dear Program Manager:

I intend to apply for funds under this solicitation. I expect to apply under the following section(s). (Check all that apply):

I. Impact Evaluations on the Purpose Areas of the STOP Grants

II. Other Research and Evaluation on Violence Against Women

I would like to be considered as a reviewer for other sections:

Yes No

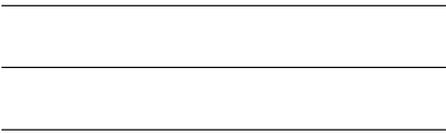
Name _____

Address _____

Telephone _____



Fold and Tape



AFFIX
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STAMP

**Solicitation for Research and Evaluation on
Violence Against Women: Fiscal Year 1996
National Institute of Justice
633 Indiana Avenue N.W.
Washington, DC 20531**

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For more information on the National Institute of Justice, please contact:

National Criminal Justice Reference Service

P.O. Box 6000
Rockville, MD 20849-6000
800-851-3420
e-mail: askncjrs@ncjrs.org

You can view or obtain an electronic version of this document from
the NCJRS Bulletin Board System (BBS)
or the NCJRS Justice Information Center World Wide Web site.

To access the BBS, direct dial through your computer modem:
301-738-8895 (modems should be set at 9600 baud and 8-N-1),
or Telnet to ncjrsbbs.aspensys.com or
Gopher to ncjrs.org:71

To access the World Wide Web site, go to
<http://www.ncjrs.org>

If you have any questions, call or e-mail NCJRS.

U.S. Department of Justice
Office of Justice Programs
National Institute of Justice

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